

Senate Resolution 3 - Reprinted

SENATE RESOLUTION NO. 3

BY COMMITTEE ON ETHICS

(SUCCESSOR TO SSB 1002)

(As Amended and Passed by the Senate February 3, 2011)

1 A Resolution relating to the Senate Code of Ethics
2 governing the conduct of members of the Senate in
3 relation to their senatorial duties during the
4 Eighty-fourth General Assembly.

5 BE IT RESOLVED BY THE SENATE, That the Senate Code
6 of Ethics for the ~~Eighty-third~~ Eighty-fourth General
7 Assembly shall be amended to read as follows:

8 SENATE CODE OF ETHICS

9 PREAMBLE. Every legislator owes a duty to uphold
10 the integrity and honor of the general assembly, to
11 encourage respect for the law and for the general
12 assembly and the members thereof, and to observe the
13 legislative code of ethics.

14 In doing so, members of the senate have a duty
15 to conduct themselves so as to reflect credit on
16 the general assembly, and to inspire the confidence,
17 respect, and trust of the public, and to strive to
18 avoid both unethical and illegal conduct and the
19 appearance of unethical and illegal conduct.

20 Recognizing that service in the Iowa general
21 assembly is a part-time endeavor and that members of
22 the general assembly are honorable individuals who
23 are active in the affairs of their localities and
24 elsewhere and that it is necessary that they maintain
25 a livelihood and source of income apart from their

26 legislative compensation, the following rules are
27 adopted pursuant to section 68B.31, to assist the
1 members in the conduct of their legislative affairs.

2 1. ECONOMIC INTEREST OF SENATOR. Taking into
3 account that legislative service is part-time, a
4 senator shall not accept economic or investment
5 opportunity, under circumstances where the senator
6 knows, or should know, that there is a reasonable
7 possibility that the opportunity is being afforded the
8 senator with intent to influence the senator's conduct
9 in the performance of official duties.

10 2. DIVESTITURE. Where a senator learns that
11 an economic or investment opportunity previously
12 accepted was offered with the intent of influencing
13 the senator's conduct in the performance of official
14 duties, the senator shall take steps to divest that
15 senator of that investment or economic opportunity, and
16 shall report the facts of the situation to the senate
17 ethics committee.

18 3. CHARGES FOR SERVICES. A senator shall not
19 charge to or accept from a person, corporation,
20 partnership, or association known to have a legislative
21 interest a price, fee, compensation, or other
22 consideration for the sale or lease of any property or
23 the furnishing of services which is in excess of that
24 which the senator would charge another.

25 4. USE OF CONFIDENTIAL INFORMATION. A senator in
26 order to further the senator's own economic or other
27 interests, or those of any other person, shall not
28 disclose or use confidential information acquired in

29 the course of official duties.

30 5. HONORARIA. A senator shall not accept an
1 honorarium from a restricted donor for a speech,
2 writing for publication, or other similar activity,
3 except as otherwise provided in section 68B.23.

4 6. EMPLOYMENT. A senator shall not accept
5 employment, either directly or indirectly, from a
6 political action committee or from an organization
7 exempt from taxation under section 501(c)(4),
8 501(c)(6), or 527 of the Internal Revenue Code that
9 engages in activities related to the nomination,
10 election, or defeat of a candidate for public office.

11 A senator may accept employment from a political
12 party, but shall disclose the employment relationship
13 in writing to the secretary of the senate within ten
14 days after the beginning of each legislative session.
15 If a senator accepts employment from a political
16 party during a legislative session, the senator shall
17 disclose the employment relationship within ten days
18 after acceptance of the employment.

19 For the purpose of this rule, a political action
20 committee means a committee, but not a candidate's
21 committee, which accepts contributions, makes
22 expenditures, or incurs indebtedness in the aggregate
23 of more than seven hundred fifty dollars in any one
24 calendar year to expressly advocate the nomination,
25 election, or defeat of a candidate for public office
26 or to expressly advocate the passage or defeat of
27 a ballot issue or influencing legislative action,
28 or an association, lodge, society, cooperative,

29 union, fraternity, sorority, educational institution,
30 civic organization, labor organization, religious
1 organization, or professional organization which makes
2 contributions in the aggregate of more than seven
3 hundred fifty dollars in any one calendar year to
4 expressly advocate the nomination, election, or defeat
5 of a candidate for public office or ballot issue or
6 influencing legislative action.

7 7. ECONOMIC INTERESTS OF LOBBYIST. With the
8 exception of exercising unfettered discretion in
9 supporting or refusing to support proposed legislation,
10 a senator shall not take action intended to affect the
11 economic interests of a lobbyist or citizen supporting
12 or opposing proposed legislation.

13 8. APPEARANCE BEFORE GOVERNMENTAL AGENCY. A
14 senator may appear before a governmental agency or
15 board in any representation case, except that the
16 senator shall not act as a lobbyist. Whenever a
17 senator appears before a governmental agency or board,
18 the senator shall carefully avoid all conduct which
19 might in any way lead members of the general public
20 to conclude that the senator is using the senator's
21 official position to further the senator's professional
22 success or personal financial interest.

23 9. CONFLICTS OF INTERESTS. In order to permit the
24 general assembly to function effectively, a senator
25 will sometimes be required to vote on bills and
26 participate in committee work which will affect the
27 senator's employment and other monetary interests. In
28 making a decision relative to the senator's activity on

29 given bills or committee work which are subject to the
30 code, the following factors shall be considered:

1 a. Whether a substantial threat to the senator's
2 independence of judgment has been created by the
3 conflict situation.

4 b. The effect of the senator's participation on
5 public confidence in the integrity of the legislature.

6 c. The need for the senator's particular
7 contribution, such as special knowledge of the
8 subject matter, to the effective functioning of the
9 legislature.

10 A senator with a conflict of interest may
11 participate in floor debate if prior to debate the
12 senator indicates the conflict of interest.

13 10. GIFTS. Except as otherwise provided in section
14 68B.22, a senator, or that person's immediate family
15 member, shall not, directly or indirectly, accept or
16 receive any gift or series of gifts from a restricted
17 donor.

18 11. DISCLOSURE REQUIRED. Each senator shall file
19 with the secretary of the senate within ten days after
20 the adoption of the code of ethics by the senate, and
21 within ten days after the convening of the second
22 session of the general assembly, a statement under
23 section 68B.35 on forms provided by the secretary of
24 the senate setting forth the following information:

25 The nature of each business in which the senator
26 is engaged and the nature of the business of each
27 company in which the senator has a financial interest.
28 A senator shall not be required to file a report or

29 be assumed to have a financial interest if the annual
30 income derived from the investment in stocks, bonds,
1 bills, notes, mortgages, or other securities offered
2 for sale through recognized financial brokers is less
3 than one thousand dollars.

4 Disclosures required under this rule shall be as
5 of the date filed unless provided to the contrary,
6 and shall be amended to include interests and changes
7 encompassed by this rule that occur while the general
8 assembly is in session. All filings under this rule
9 shall be open to public inspection in the office of the
10 secretary of the senate at all reasonable times.

11 The secretary of the senate shall inform the
12 ethics committee of the statements which are filed
13 and shall report to the ethics committee the names of
14 any senators who appear not to have filed complete
15 statements. The chairperson of the ethics committee
16 shall request in writing that a senator who has failed
17 to complete the report or appears to have filed an
18 incomplete report do so within five days, and, upon
19 the failure of the senator to comply, the ethics
20 committee shall require the senator to appear before
21 the committee.

22 12. STATUTORY VIOLATIONS. Members of the general
23 assembly are urged to familiarize themselves with
24 chapters 68B, 721, and 722.

25 13. CHARGE ACCOUNTS. Senators shall not charge any
26 amount or item to any charge account to be paid for by
27 any lobbyist or any client the lobbyist represents.

28 14. TRAVEL EXPENSES. A senator shall not charge

29 to the state of Iowa amounts for travel and expenses
30 unless the senator actually has incurred those mileage
1 and expense costs. Senators shall not file the
2 vouchers for weekly mileage reimbursement required
3 by section 2.10, subsection 1, unless the travel
4 was actually incurred at commensurate expense to the
5 senator.

6 15. COMPLAINTS. Complaints or charges against
7 any senator or any lobbyist shall be in writing,
8 made under oath, and filed with the secretary of the
9 senate or the chairperson of the ethics committee. If
10 filed with the secretary of the senate, the secretary
11 shall immediately advise the chairperson of the ethics
12 committee of the receipt of the complaint.

13 Complaint forms shall be available from the
14 secretary of the senate, or the chairperson of the
15 ethics committee, but a complaint shall not be rejected
16 for failure to use an approved form if the complaint
17 substantially complies with senate requirements.

18 A complainant may submit exhibits and affidavits
19 attached to the complaint.

20 16. FILING OF COMPLAINTS.

21 a. Persons entitled. Complaints may be filed by
22 any person believing that a senator ~~or~~, lobbyist, or
23 client of a lobbyist has violated the senate ethics
24 code, the senate rules governing lobbyists, or chapter
25 68B of the Iowa Code. A violation of the criminal
26 law may be considered to be a violation of this code
27 of ethics if the violation constitutes a serious
28 misdemeanor or greater, or a repetitive and flagrant

29 violation of the law.

30 b. Committee complaint. The ethics committee
1 may, upon its own motion, initiate a complaint,
2 investigation, or disciplinary action.

3 c. Timeliness of filing. A complaint will be
4 considered to be timely filed if it is filed within
5 three years of the occurrence of the alleged violation
6 of the ethics code.

7 17. PERMANENT RECORD. The secretary of the senate
8 shall maintain a permanent record of all complaints
9 filed, evidence received by the committee, and any
10 transcripts or other recordings made of committee
11 proceedings, including a separate card file containing
12 the date filed, name and address of the complainant,
13 name and address of the respondent, a brief statement
14 of the charges made, and ultimate disposition of
15 the complaint. The secretary shall keep each such
16 complaint confidential until public disclosure is made
17 by the ethics committee.

18 18. PREHEARING PROCEDURE.

19 a. Defective complaint. Upon receipt of a
20 complaint, the chairperson and ranking member of the
21 ethics committee shall determine whether the complaint
22 substantially complies with the requirements of this
23 code of ethics and section 68B.31, subsection 6. If
24 the complaint does not substantially comply with
25 the requirements for formal sufficiency under the
26 code of ethics, the complaint may be returned to the
27 complainant with a statement that the complaint is not
28 in compliance with the code and a copy of the code. If

29 the complainant fails to amend the complaint to comply
30 with the code within a reasonable time, the chair and
1 ranking member may dismiss the complaint with prejudice
2 for failure to prosecute.

3 b. Service of complaint on respondent. Upon
4 receipt of any complaint substantially complying
5 with the requirements of this code of ethics, the
6 chairperson of the ethics committee shall cause a copy
7 of the complaint and any supporting information to
8 be delivered promptly to the respondent, requesting
9 a written response to be filed within ten days. The
10 response may do any of the following:

11 (1) Admit or deny the allegation or allegations.

12 (2) Object that the allegation fails to allege a
13 violation of chapter 68B or the code of ethics.

14 (3) Object to the jurisdiction of the committee.

15 (4) Request a more specific statement of the
16 allegation or allegations.

17 c. Objection to member. In addition to the
18 items which may be included in a response pursuant
19 to paragraph "b", the response may also include an
20 objection to the participation of any member of the
21 committee in the consideration of the allegation or
22 allegations on the grounds that the member cannot
23 render an impartial and unbiased decision.

24 d. Extension of time. At the request of the
25 respondent and upon a showing of good cause, the
26 committee, or the chairperson and ranking member,
27 may extend the time for response, not to exceed ten
28 additional days.

29 e. Confidentiality. If a complaint is not
30 otherwise made public, the members of the committee
1 shall treat the complaint and all supporting
2 information as confidential until the written response
3 is received from the respondent.

4 f. Communications with ethics committee. After a
5 complaint has been filed or an investigation has been
6 initiated, a party to the complaint or investigation
7 shall not communicate, or cause another to communicate,
8 as to the merits of the complaint or investigation with
9 a member of the committee, except under the following
10 circumstances:

11 (1) During the course of any meetings or other
12 official proceedings of the committee regarding the
13 complaint or investigation.

14 (2) In writing, if a copy of the writing is
15 delivered to the adverse party or the designated
16 representative for the adverse party.

17 (3) Orally, if adequate prior notice of the
18 communication is given to the adverse party or the
19 designated representative for the adverse party.

20 (4) As otherwise authorized by statute, the senate
21 code of ethics, the senate rules governing lobbyists,
22 or vote of the committee.

23 g. Scheduling hearing. Upon receipt of the
24 response, the committee shall schedule a public meeting
25 to review the complaint and available information, and
26 shall do one of the following:

27 (1) Notify the complainant that no further
28 action will be taken, unless further substantiating

29 information is produced,~~or~~.

30 (2) Dismiss the complaint for failure to meet the
1 statutory and code of ethics requirements for valid
2 complaints,~~or~~.

3 (3) Take action on the complaint without requesting
4 the appointment of an independent special counsel
5 if the committee determines the complaint is valid
6 and determines no dispute exists between the parties
7 regarding the material facts that establish a
8 violation. The committee may do any of the following:

9 (a) Issue an admonishment to advise against the
10 conduct that formed the basis for the complaint and to
11 exercise care in the future.

12 (b) Issue an order to cease and desist the conduct
13 that formed the basis for the complaint.

14 (c) Make a recommendation to the senate that
15 the person subject to the complaint be censured or
16 reprimanded.

17 ~~(3)~~ (4) Request that the chief justice of the
18 supreme court appoint an independent special counsel
19 to conduct an investigation of the complaint and
20 supporting information, to make a determination of
21 probable cause, and to report the findings to the
22 committee, which shall be received within a reasonable
23 time.

24 h. Public hearing. If independent special counsel
25 is appointed, upon receipt of the report of independent
26 special counsel's findings, the committee shall
27 schedule a public meeting to review the report and
28 shall do either of the following:

29 (1) Cause the complaint to be scheduled for a
30 public hearing.

1 (2) Dismiss the complaint based upon a
2 determination by independent special counsel and the
3 committee that insufficient evidence exists to support
4 a finding of probable cause.

5 19. HEARING PROCEDURE.

6 a. Notice of hearing. If the committee causes
7 a complaint to be scheduled for a public hearing,
8 notice of the hearing date and time shall be given to
9 the complainant and respondent in writing, and of the
10 respondent's right to appear in person, be represented
11 by legal counsel, present statements and evidence, and
12 examine and cross-examine witnesses. The committee
13 shall not be bound by formal rules of evidence, but
14 shall receive relevant evidence, subject to limitations
15 on repetitiveness. Any evidence taken shall be under
16 oath.

17 b. Subpoena power. The committee may require, by
18 subpoena or otherwise, the attendance and testimony of
19 witnesses and the production of such books, records,
20 correspondence, memoranda, papers, documents, and any
21 other things it deems necessary to the conduct of the
22 inquiry.

23 c. Ex post facto. An investigation shall not be
24 undertaken by the committee of a violation of a law,
25 rule, or standard of conduct that is not in effect at
26 the time of violation.

27 d. Disqualification of member. Members of the
28 committee may disqualify themselves from participating

29 in any investigation of the conduct of another person
30 upon submission of a written statement that the member
1 cannot render an impartial and unbiased decision
2 in a case. A member may also be disqualified by a
3 unanimous vote of the remaining eligible members of the
4 committee.

5 A member of the committee is ineligible to
6 participate in committee meetings, as a member of the
7 committee, in any proceeding relating to the member's
8 own official conduct.

9 If a member of the committee is disqualified or
10 ineligible to act, the majority or minority leader who
11 appointed the member shall appoint a replacement member
12 to serve as a member of the committee during the period
13 of disqualification or ineligibility.

14 e. Hearing. At the hearing, the chairperson shall
15 open the hearing by stating the charges, the purpose of
16 the hearing, and its scope. The burden of proof rests
17 upon the complainant to establish the facts as alleged,
18 by clear and convincing evidence. However, questioning
19 of witnesses shall be conducted by the members of the
20 committee, by independent special counsel, or by a
21 senator. The chairperson shall also permit questioning
22 by legal counsel representing the complainant or
23 respondent.

24 The chairperson or other member of the committee
25 presiding at a hearing shall rule upon procedural
26 questions or any question of admissibility of evidence
27 presented to the committee. Rulings may be reversed by
28 a majority vote of the committee members present.

29 The committee may continue the hearing to a future
30 date if necessary for appropriate reasons or purposes.

1 f. Committee action. Upon receipt of all relevant
2 evidence and arguments, the committee shall consider
3 the same and recommend to the senate any of the
4 following:

5 (1) That the complaint be dismissed, ~~or~~.

6 (2) That the senator, ~~or~~ lobbyist, or client of a
7 lobbyist be censured or reprimanded, and recommend the
8 appropriate form of censure or reprimand, ~~or~~.

9 (3) Any other appropriate sanction, including
10 suspension or expulsion from membership in the senate,
11 or suspension of lobbying privileges.

12 g. Disposition resolution. By appropriate
13 resolution, the senate may amend, adopt, or reject
14 the report of the ethics committee, including the
15 committee's recommendations regarding disciplinary
16 action.

17 20. COMMITTEE AUTHORIZED TO MEET. The senate
18 ethics committee is authorized to meet at the
19 discretion of the chairperson to conduct hearings and
20 other business that properly may come before it. If
21 the committee submits a report seeking senate action
22 against a senator, ~~or~~ lobbyist, or client of a lobbyist
23 after the second regular session of a general assembly
24 has adjourned sine die, the report shall be submitted
25 to and considered by the subsequent general assembly.
26 However, the report may be submitted to and considered
27 during any special session which may take place after
28 the second regular session of a general assembly has

29 adjourned sine die, but before the convening of the
30 next general assembly.

1 21. ADVISORY OPINIONS.

2 a. Requests for formal opinions. A request for a
3 formal advisory opinion may be filed by any person who
4 is subject to the authority of the ethics committee.
5 The ethics committee may also issue a formal advisory
6 opinion on its own motion, without having previously
7 received a formal request for an opinion, on any issue
8 that is within the jurisdiction of the committee.

9 Requests shall be filed with either the secretary of
10 the senate or the chairperson of the ethics committee.

11 b. Form and contents of requests. A request for
12 a formal advisory opinion shall be in writing and
13 may pertain to any subject matter that is related to
14 the application of the senate code of ethics, the
15 senate rules governing lobbyists, or chapter 68B of
16 the Code to any person who is subject to the authority
17 of the ethics committee. Requests shall contain one
18 or more specific questions and shall relate either to
19 future conduct or be stated in the hypothetical. A
20 request for an advisory opinion shall not specifically
21 name any individual or contain any other specific
22 identifying information, unless the request relates
23 to the requester's own conduct. However, any request
24 may contain information which identifies the kind of
25 individual who may be affected by the subject matter
26 of the request. Examples of this latter kind of
27 identifying information may include references to
28 conduct of a category of individuals, such as but not

29 limited to conduct of legislators, legislative staff,
30 ~~or~~ lobbyists, or clients of lobbyists.

1 c. Confidentiality of formal requests and opinions.
2 Requests for formal opinions are not confidential and
3 any deliberations of the committee regarding a request
4 for a formal opinion shall be public. Opinions issued
5 in response to requests for formal opinions are not
6 confidential, shall be in writing, and shall be placed
7 on file in the office of the secretary of the senate.
8 Persons requesting formal opinions shall personally
9 receive a copy of the written formal opinion that is
10 issued in response to the request.

11 22. CALCULATION OF TIME — DAYS. For purposes of
12 these rules, unless the context otherwise requires,
13 the word "day" or "days" shall mean a calendar day
14 except that if the day is the last day of a specific
15 time period and falls upon a Saturday, Sunday, or legal
16 holiday, the time prescribed shall be extended so as to
17 include the whole of the next day in which the offices
18 of the senate and the general assembly are open for
19 official business.

20 23. COMPLAINT FILING FORM. The following form
21 shall be used to file a complaint under these rules:

22 THE SENATE

23 Ethics Complaint Form

24 Re: _____ (Senator/Lobbyist),
25 of _____, Iowa.

26 I, _____ (Complainant), residing
27 at _____, in the City of _____,
28 State of _____, hereby complain that

29 _____ (Senator/Lobbyist), whose
30 address is _____,

1 has violated the Senate Code of Ethics or Senate Rules
2 Governing Lobbyists in that:

3 (Explain the basis for the complaint here. Use
4 additional pages, if necessary.)

5 Under penalty of perjury, I certify that the above
6 complaint is true and correct as I verily believe.

7

8 _____
Signature of Complainant

9 SUBSCRIBED AND AFFIRMED to before me this _____
10 day of _____, _____.

11

12 _____
Notary Public in and for the
13 State of _____

14 24. COMPLAINT NOTICE FORM. The following form
15 shall be used for notice of a complaint under these
16 rules:

17

STATE OF IOWA

18

THE SENATE

19 COMMITTEE ON ETHICS)

20 IOWA STATE SENATE)

21)

22 On The Complaint Of) NOTICE OF COMPLAINT

23)

24 _____)

25)

26 And Involving)

27)

28 _____)

29)

30 TO _____,

1 Senator or Lobbyist named above:

2 You are hereby notified that there is now on file
3 with the Secretary of the Senate, State Capitol, Des
4 Moines, Iowa, a complaint which alleges that you have
5 committed a violation of the Senate's Code of Ethics or
6 Senate Rules Governing Lobbyists.

7 A copy of the complaint and the Senate rules for
8 processing the same are attached hereto and made a part
9 of this notice.

10 You are further notified and requested to file your
11 written answer to the complaint within ten days of the
12 date upon which the notice was caused to be delivered
13 to you, (date) _____, _____.

14 Your answer is to be filed with the Secretary of the
15 Senate, State Capitol, Des Moines, Iowa.

16 Dated this _____ day of _____, _____.
17 _____

18 Chair, Senate Ethics Committee,
19 or Secretary of the Senate

20 25. HEARING NOTICE FORM. The following form shall
21 be used for notice of a hearing under these rules:

22 STATE OF IOWA

23 THE SENATE

24 COMMITTEE ON ETHICS)

25 IOWA STATE SENATE)

26)

27 On The Complaint Of) NOTICE OF HEARING

28)

29 _____)
 30 _____)
 1 And Involving)
 2 _____)
 3 _____)
 4 _____)

5 TO _____,

6 Senator or Lobbyist named above:

7 You are hereby notified that there is now on file
 8 with the Secretary of the Senate, State Capitol, Des
 9 Moines, Iowa, a complaint which alleges that you have
 10 committed a violation of the Senate's Code of Ethics or
 11 Senate Rules Governing Lobbyists.

12 A copy of the complaint and the Senate rules for
 13 processing the same are attached hereto and made a part
 14 of this notice.

15 You are further notified that, after preliminary
 16 review, the committee has caused a public hearing to be
 17 scheduled on (date) _____, _____, at
 18 (hour) _____ (a.m.) (p.m.), in Room _____, State
 19 Capitol, Des Moines, Iowa.

20 At the hearing, you will have the right to appear
 21 in person, be represented by legal counsel at your own
 22 expense, present statements and evidence, and examine
 23 and cross-examine witnesses. The committee shall
 24 not be bound by formal rules of evidence, but shall
 25 receive relevant evidence, subject to limitations on
 26 repetitiveness. Any evidence taken shall be under
 27 oath.

28 The committee may continue the hearing to a future

29 date if necessary for appropriate reasons or purposes.

30 You are further notified that the committee will
1 receive such evidence and take such action as warranted
2 by the evidence.

3 Dated this ____ day of _____, ____.

4 _____
5 Chair, Senate Ethics Committee,
6 or Secretary of the Senate

7 26. PERSONAL FINANCIAL DISCLOSURE FORM. The
8 following form shall be used for disclosure of economic
9 interests under these rules and section 68B.35:

10 STATEMENT OF ECONOMIC INTERESTS

11 Name: _____
12 (Last) (First) (Middle Initial)

13 Address: _____
14 (Street Address, Apt.#/P.O. Box)

15 _____
16 (City) (State) (Zip)

17 Phone: (Home) ____/____-____ (Business) ____/____-____

18 *****

19 a. Please list each business, occupation, or
20 profession in which you are engaged. In listing
21 the business, occupation, or profession, it is
22 not necessary that your employer or the name of
23 the business be listed, although all businesses,
24 occupations, or professions must be listed, regardless
25 of the amount of income derived or time spent
26 participating in the activity. (Examples of types
27 of businesses, occupations, or professions that may
28 be listed: teacher, lawyer, legislator, real estate

29 agent, insurance adjuster, salesperson....)

- 30 (1) _____
 1 (2) _____
 2 (3) _____
 3 (4) _____
 4 (5) _____

5 b. Please list the nature of each of the
 6 businesses, occupations, or professions which you
 7 listed in paragraph "a", above, unless the nature of
 8 the business, occupation, or profession is already
 9 apparent from the information indicated above. The
 10 descriptions in this paragraph should correspond by
 11 number to the numbers for each of the businesses,
 12 occupations, or professions listed in paragraph "a".
 13 (Examples: If you indicated, for example, that you
 14 were a salesperson in subparagraph (1) of paragraph
 15 "a", you should list in subparagraph (1) of this
 16 paragraph the types of goods or services sold in this
 17 item. If you indicated that you were a teacher in
 18 subparagraph (2) of paragraph "a", you should indicate
 19 in subparagraph (2) of this paragraph the type of
 20 school or institution in which you provide instruction
 21 or whether the instruction is provided on a private
 22 basis. If you indicated that you were a lawyer in
 23 subparagraph (3) of paragraph "a", you should indicate
 24 your areas of practice and whether you are in private,
 25 corporate, or government practice in subparagraph (3)
 26 of this paragraph. If you indicated in subparagraph
 27 (4) of paragraph "a" that you were a consultant, in
 28 subparagraph (4) of this paragraph you should indicate

29 the kind of services provided and types of clients
30 served.)

- 1 (1) _____
- 2 (2) _____
- 3 (3) _____
- 4 (4) _____
- 5 (5) _____

6 c. Please list each source, by general description,
7 from which you receive, or which generates, more than
8 one thousand dollars in gross annual income in the
9 categories listed below. For purposes of this item,
10 a source produces gross annual income if the revenue
11 produced by the source is subject to federal or state
12 income taxes. In completing this item, it is not
13 necessary to list the name of the company, business,
14 financial institution, corporation, partnership, or
15 other entity which constitutes the source of the income
16 and the amount or value of the holding should not be
17 listed.

18 (1) Securities (Here for example, you need not
19 state that you own X number of shares of any specific
20 company by brand or corporate name, or that the stock
21 is of a certain value, but may instead state that you
22 possess stock in a company and indicate the nature of
23 the company's business.):

- 24 _____
- 25 _____
- 26 _____
- 27 _____
- 28 _____

29 (2) Instruments of Financial Institutions (You
30 need not indicate, for example, in which institutions
1 you hold certificates of deposit that produce annual
2 income over the one thousand dollar threshold, but
3 simply listing the nature of the institution will
4 suffice, e.g., bank, credit union, or savings and loan
5 association.):

6 _____
7 _____
8 _____
9 _____
10 _____

11 (3) Trusts (The name of the particular trust need
12 not be listed. However, if the income is received
13 from a charitable trust/foundation, such as the Pugh
14 Charitable Trust, in the form of a grant, the fact that
15 the trust is a charitable trust should be noted here.):

16 _____
17 _____
18 _____
19 _____
20 _____

21 (4) Real Estate (When listing real estate, it is
22 not necessary to list the location of the property, but
23 the general nature of the real estate interest should
24 be indicated, e.g., residential leasehold interest or
25 farm leasehold interest.):

26 _____
27 _____
28 _____

29 _____
30 _____
1 (5) Retirement Systems (When listing retirement
2 benefits, it is not necessary to list the name of
3 the particular pension system or company, but rather
4 the type of benefit should be listed, e.g., health
5 benefits, life insurance benefits, private pension, or
6 government pension.):
7 _____
8 _____
9 _____
10 _____
11 _____
12 (6) Other Income Categories Specified in State or
13 Federal Income Tax Regulations (List description of
14 other sources of income producing over one thousand
15 dollars in annual income not previously reported above,
16 but which must be reported for income tax purposes.):
17 _____
18 _____
19 _____
20 _____
21 _____
22 _____
23 _____
24 (Signature of filer) _____ (Date) _____